

Section #4



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/900,497	07/06/2001	Keith D. Allen	R-639

CONFIRMATION NO. 4128

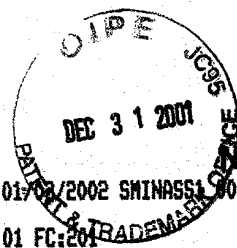
## FORMALITIES LETTER



\*OC000000006495089\*

DELTAGEN, INC.  
1003 Hamilton Avenue  
Menlo Park, CA 94025

Date Mailed: 08/30/2001



## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

01/03/2002 SHINASSI 00000040 09900497

FILED UNDER 37 CFR 1.53(b)

01 FC:201	370.00 OP
02 FC:203	45.00 OP
03 FC:202	294.00 OP
04 FC:204	140.00 OP
05 FC:205	65.00 OP

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 355 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$442.  
  - \$27 for 3 total claims over 20.
  - \$280 for 7 independent claims over 3.
  - \$135 for multiple dependent claim surcharge.
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 862.**

Adjustment date: 01/24/2002 HPRASASD

01/03/2002 SHINASSI 00000040 09900497

02 FC:203

-45.00 OP

01/24/2002 HPRASASD 00000006 09900497

01 FC:203

27.00 OP

02 FC:998

18.00 OP

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

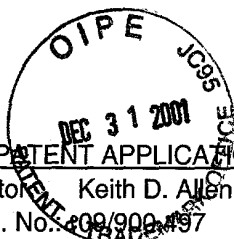
- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. ( 5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

- For questions regarding compliance to these requirements, please contact:**

- A copy of this notice MUST be returned with the reply.***

Initial Patent Examination Division (703) 308-1202

**PART 2 - COPY TO BE RETURNED WITH RESPONSE**



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
FILING COMPLETION UNDER RULE 53(f)

In re PATENT APPLICATION of

Inventor: Keith D. Allen

Appln. No.: 408/900-197

Filed: July 06, 2001

Title: Transgenic Mice Containing NPY6-R Neuropeptide  
Receptor Gene Disruptions

Order/Docket No. **R-639**

Deposit Account No. 50-1271

Customer No. **26619**

Date: **October 30, 2001**

Commissioner for Patents  
BOX MISSING PARTS  
Washington, D.C. 20231

Sir:

The following **completes the filing** under Rule 53(f) of the above-identified patent application:

1. ☒ Enclosed is a copy of the Notice to File Missing Parts.
2. ☒ Signed Declaration enclosed: ☒ Original / ☐ facsimile/copy
3. ☒ Enclosed is an Assignment and cover sheet. Please return the recorded Assignment to the undersigned.
4. ☒ Enclosed is a new set of formal drawings with correct margins.
5. ☒ Enclosed is the sequence listing on paper and a diskette containing said sequence listing.
6. ☒ Applicants state that the content of the sequence listing information recorded in computer readable form is identical to the written sequence listing and includes no new matter, as required by 37 CFR 1.821.
7. ☒ Applicants hereby claim "small entity" status.

**THE FOLLOWING FILING FEE IS BASED ON CLAIMS AS FILED LESS ANY ABOVE CANCELLED**

Basic Filing Fee .....				\$370.	\$	\$370.00	201
Total Claims	25	minus 20 =	05	x	9.	+	45.00 203
Independent Claims	10	minus 3 =	07	x	42.	+	294.00 202
Multiple Dependent Claims					140.	+	140.00
Surcharge for filing Declaration/filing fee late					65.	+	65.00 205
<b>FILING FEE: <input type="checkbox"/> CHARGE AUTHORIZATION <input checked="" type="checkbox"/> ENCLOSED =</b>				<b>\$ 914.00</b>			
Original due date: <b>October 30, 2001</b>							
Petition is hereby made to extend the original due date to cover the date of this response, for which the requisite fee is enclosed.				\$ 55. / 195. 445. / 695.		.00	
If Assignment is included, add recording fee .....				\$ 40.	+	40.00	581
<b>TOTAL FEE (enclosed): =</b>						<b>\$954.00</b>	

**CHARGE STATEMENT:** The Commissioner is hereby authorized to charge any missing fees required, or credit any overpayment, to our Account/Order No. shown above, for which a duplicate copy of this sheet is enclosed.

**DELTAGEN, INC.**

740 Bay Road  
Redwood City, CA 94063  
Tel: (650) 569-5168  
Fax: (650) 569-5568

  
Robert J. Driscoll, Reg. No. 47,536

I certify that the enclosed papers are being deposited with the U.S. Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, BOX MISSING PARTS, Washington, D.C. 20231, on **October 30, 2001**.

  
Gayle D. Peterson